

Title II Redesign

**Exhibit 300: Part I: Summary Information and Justification (All Capital Assets)**

**I.A. Overview**

**1. Date of Submission:**

9/11/2006

**2. Agency:**

Social Security Administration

**3. Bureau:**

Systems

**4. Name of this Capital Asset:**

Title II Redesign

**5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)**

016-00-01-02-01-2045-00

**6. What kind of investment will this be in FY2008? (Please NOTE: Investments moving to O&M ONLY in FY2008, with Planning/Acquisition activities prior to FY2008 should not select O&M. These investments should indicate their current status.)**

Mixed Life Cycle

**7. What was the first budget year this investment was submitted to OMB?**

FY2001 or earlier

**8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:**

The Title II Redesign project was initiated to provide a single system for processing all initial claims and post entitlement actions in an online interactive mode. Previously there were a number of separate systems to process this data and this led to flaws in data integrity and program maintainability. The use of common business functions which are shared by online and batch processes has improved as has the consistency and maintainability of the software. The redesign has expanded online capabilities to provide more complete and accurate data to service SSA clients. Automation increases have led to decreased processing times and reduced the number of exceptions produced. Increases in data stored within the system have resulted in fewer SSA initiated personal contacts with clients.

**9. Did the Agency's Executive/Investment Committee approve this request?**

Yes

**a. If "yes," what was the date of this approval?**

7/13/2006

**10. Did the Project Manager review this Exhibit?**

Yes

**11. Removed**

**12. Has the agency developed and/or promoted cost effective, energy efficient and environmentally sustainable techniques or practices for this project.**

Yes

**a. Will this investment include electronic assets (including computers)?**

Yes

**b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)**

No

**1. If "yes," is an ESPC or UESC being used to help fund this investment?**

**2. If "yes," will this investment meet sustainable design principles?**

**3. If "yes," is it designed to be 30% more energy efficient than relevant code?**

**13. Does this investment support one of the PMA initiatives?**

Yes

**If "yes," check all that apply:**

Expanded E-Government, Financial Performance

**13a. Briefly describe how this asset directly supports the identified initiative(s)?**

Expanded E-Government- The public can use our 800# when communicating with SSA and can also initiate Title II claims using the internet. Improved Financial Performance- Through this project SSA continues an aggressive program to streamline and automate T2 benefit applications. This will result in an automated system that is easier and less costly to maintain and modify. The project contributes to greater data integrity which has a direct impact on program integrity which will improve goals.

**14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit [www.whitehouse.gov/omb/part.](http://www.whitehouse.gov/omb/part.))**

Yes

**a. If "yes," does this investment address a weakness found during the PART review?**

Yes

**b. If "yes," what is the name of the PART program assessed by OMB's Program Assessment Rating Tool?**

See FY 05 Disability Insurance (DI) PART Q 3.4, 3.7; See FY06 Supplemental Security Income (SSI) PART Q 2.1, 2.6, 3.4, 3.7

**c. If "yes," what PART rating did it receive?**

Moderately Effective

**15. Is this investment for information technology?**

Yes

**If the answer to Question: "Is this investment for information technology?" was "Yes," complete this sub-section. If the answer is "No," do not answer this sub-section.**

**For information technology investments only:**

**16. What is the level of the IT Project? (per CIO Council PM Guidance)**

Level 2

**17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance):**

(1) Project manager has been validated as qualified for this investment

**18. Is this investment identified as "high risk" on the Q4 - FY 2006 agency high risk report (per OMB's "high risk" memo)?**

No

**19. Is this a financial management system?**

No

**a. If "yes," does this investment address a FFMI A compliance area?**

**1. If "yes," which compliance area:**

**2. If "no," what does it address?**

**b. If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A-11 section 52**

**20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)**

**Hardware**

0

**Software**

0

**Services**

2.046000

**Other**

97.954000

**21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?**

Yes

**22. Removed**

**23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?**

Yes

**I.B. Summary of Funding**

Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The total estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

**Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES  
(REPORTED IN MILLIONS)**

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY - 1 and Earlier	PY 2006	CY 2007	BY 2008
Planning Budgetary Resources	0	0	0	0
Acquisition Budgetary Resources	152.504	1.622	0.895	0.747
Subtotal Planning & Acquisition Budgetary Resources	152.504	1.622	0.895	0.747
Operations & Maintenance Budgetary Resources	13.913	0.696	1.664	1.387
TOTAL Budgetary Resources	166.417	2.318	2.559	2.134
Government FTE Costs Budgetary Resources	160.466	4.84	10.749	6.08
Number of FTE represented by Costs:	1630	37	99	52

**Note: For the cross-agency investments, this table should include all funding (both managing partner and partner agencies). Government FTE Costs should not be included as part of the TOTAL represented.**

**2. Will this project require the agency to hire additional FTE's?**

No

a. If "yes," How many and in what year?

**3. If the summary of spending has changed from the FY2007 President's budget request, briefly explain those changes:**

In passback during last year's BY07 budget development process the Agency was instructed to reduce it's ITS Service Delivery Budget by \$63 million. The effect of this reduction is reflected in the CY07 amounts in the Summary of Spending Section being submitted as part of the BY08 budget proposal. In addition, delays in certain major investments necessitated the reallocation of funds during the course of FY06. This realignment led to the forward-funding of certain activities that initially had been proposed for and approved for FY07. The effect of this realignment on these projects can be seen in lower levels of funding for CY07 (in the BY08 exhibit 300) than were proposed in the BY07 exhibit 300 (since they were forward-funded in FY06). The delayed projects (primarily ITOA and TSRP) show a higher-than-originally-proposed level of funding for CY07 (in the BY08 exhibit 300), since they provided funds for the forward-funded projects in FY06 while receiving the same amount of funds in FY07.

**I.C. Acquisition/Contract Strategy**

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Total Value should include all option years for each contract. Contracts and/or task orders completed do not need to be included.

Contracts/Task Orders Table:

Contract or Task Order Number	Type of Contract/ Task Order	Has the contract been awarded?	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/ Task Order	End date of Contract/ Task Order	Total Value of Contract/ Task Order	Is this an Interagency Acquisition?	Is it performance based?	Competitively awarded?	What, if any, alternative financing option is being used?	Is EVM in the contract?	Does the contract include the required security and privacy clauses?
SS00-05-60011 Task 2-310	Time & Materials	Yes	11/15/2004	11/15/2004	9/29/2011	525124.153	No	Yes	Yes	NA	No	Yes

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

SSA's earned value management (EVM) policy has been certified as consistent with OMB guidance and the ANSI standards defining a compliant EVM. The inclusion of earned value in SSA contracts is based on the type of contract let, the services performed, and the date when the contract was let. Earned value management requirements are applied to SSA contractors in two ways. The first is to require the contractor to satisfy requirements utilizing their own earned value management system (EVMS). The second is for the contractor to provide necessary data directly into SSA's in-house EVMS.

3. Do the contracts ensure Section 508 compliance?

Yes

a. Explain why:

All requisitions for EIT must be processed to the contracting office with a form entitled 'Determination of Section 508 Compliance for Purchase Requests.' This form requires that the requisitioner document (1) how applicable technical provisions of the product being requested either satisfy or do not satisfy Section 508 requirements or (2) if a specific exception pertains to the applicability of Section 508 requirements.

4. Is there an acquisition plan which has been approved in accordance with agency requirements?

Yes

a. If "yes," what is the date?

8/15/2006

b. If "no," will an acquisition plan be developed?

1. If "no," briefly explain why:

#### I.D. Performance Information

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.

Agencies must use Table 1 below for reporting performance goals and measures for all non-IT investments and for existing IT investments that were initiated prior to FY 2005. The table can be extended to include measures for years beyond FY 2006.

Performance Information Table 1:

Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
2004	Service	Increased automation rate for PE actions from 91% to 92%.	86.9%		91.3%
2004	Service	Increased IC automation rate from 94% to 94.5%.	86.9%		94.4%
2004	Service	Achieve 50% growth over existing baseline.	218,932 usage of electronic entitlement and supporting actions.	328,398 usage of electronic entitlement and supporting actions.	552,810
2004	Service	Maintain OASDI payment accuracy rate at 99.8%. This will be a separate accuracy rate of 99.8% for payments free of O/P and also 99.8% for payments free of U/P.	99.8% O/P – 99.9% U/P%	99.8% O/P – 99.8% U/P	99.5% O/P - 99.8% U/P
2004	Service	Retirement and Survivors Insurance (RSI) Claims Processed	2003-3,238,871 - 2002-3,266,297 - 2001-3,092,743	2004 - 3,285,000	2004-3,399,471
2004	Service	Increase the usage of electronic entitlement and supporting actions	2003-295,219 - 2002-218,932 - 2001-136,800	328,398	2004-552,810
2004	Service	Percent of individuals who do business with SSA rating overall service as "excellent", "very good" or "good"	2003-84.9% 2002-82.9% 2001-81.0%	2004-83%	2004-84%
2005	Service	Increased automation rate for PE actions from 91% to 92%.	91.3%		91.7%
2005	Service	Increased IC automation rate from 94% to 94.5%.	94.4%		94.4%
2005	Service	2005 - 99.5% O/P 99.8% U/P	99.5% O/P - 99.8% U/P	2005 - 99.8% O/P 99.8% U/P	2005 - 99.5% (o/p) 99.8% (u/p)
2005	Service	Retirement and Survivors Insurance (RSI) claims processed	2004-3,399,471 - 2003-3,238,871 - 2002-3,266,297 - 2001-3,092,743	2005-3,458,000	3,762,977
2005	Service	Increase the usage of electronic entitlement and supporting actions	2003 – 295,219	2005-120% over FY 2003 baseline (649,482)	471.1 % growth over FY 2003 baseline (1,685,959)

Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
2005	Service	Percent of individuals who do business with SSA rating overall service as "excellent", "very good" or "good"	2004 - 84%	2005-83%	2005 - 85%
2005	Steward	Percent of outstanding OASDI debt in a collection arrangement	2004-42% 2003-39.8%	2005-42%	2005-42%
2005	Steward	Continue to achieve 2% on average, annual productivity improvements	2004-2.2% 2003-2.1%	2005 - 2%	2005-2.8%
2006	Service	Retirement and Survivors Insurance (RSI) Claims Processed	3,762,977	3,911,000	3,789,328
2006	Service	Increase the usage of electronic entitlement and supporting actions	2004 - 552,810	2006-300% growth over FY2004 baseline (2,211,200)	291.8% growth over FY 2004 baseline (2,165,865)
2006	Service	Percent of individuals who do business with SSA rating overall service as "excellent", "very good" or "good"	85%	83%	82%
2006	Steward	Percent of OASDI payments free of overpayment (O/P) and Underpayment (U/P)	99.5% O/P, 99.8% U/P	2006-99.8% O/P - 99.8% U/P	Available June 2007
2006	Steward	Percent of outstanding OASDI debt in a collection arrangement	42%	43%	42%
2006	Steward	Continue to achieve 2% on average, annual productivity improvements	2005-2.8%	2%	2.49% on average
2007	Service	Percent of Retirement and Survivors Insurance claims receipts processed up to the budgeted level	3,789,328	100% (3,837,000)	
2007	Service	Maximize public use of electronic services to conduct business with SSA	N/A	2,946,800	
2007	Service	Percent of individuals who do business with SSA rating overall service as "excellent", "very good" or "good"	82%	83%	

Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
2007	Stewardship	Percent of OASDI payments free of overpayments (O/P) and Underpayments (U/P)	2006 - Available June 2007	99.8%O/P- 99.8%U/P	
2007	Stewardship	Percent of outstanding OASDI debt in a collection arrangement	42%	44%	
2007	Stewardship	Continue to achieve 2% on average, annual productivity improvements	2.49% on average	2% on average	
2008	Service	Percent of Retirement and Survivors Insurance claims receipts processed up to the budgeted level	N/A	100% (4,057,000)	
2008	Service	Maximize public use of electronic services to conduct business with SSA	N/A	3,000,000	
2008	Service	Percent of individuals who do business with SSA rating overall service as "excellent", "very good" or "good"		2008-83%	
2008	Stewardship	Percent of OASDI payments free of overpayments (O/P) and underpayments (U/P)		99.8% O/P, 99.8% U/P	
2008	Stewardship	Percent of outstanding OASDI debt in a collection arrangement		45%	
2008	Stewardship	Continue to achieve 2% on average, annual productivity improvements		2% on average	

All new IT investments initiated for FY 2005 and beyond must use Table 2 and are required to use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Please use Table 2 and the PRM to identify the performance information pertaining to this major IT investment. Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for at least four different Measurement Areas (for each fiscal year). The PRM is available at [www.egov.gov](http://www.egov.gov).

Performance Information Table 2:

Fiscal Year	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
-------------	------------------	----------------------	----------------------	-----------------------	----------	-------------------------------------	----------------

**I.E. Security and Privacy**

In order to successfully address this area of the business case, each question below must be answered at the system/application level, not at a program or agency level. Systems supporting this investment on the planning and operational systems security tables should match the systems on the privacy table below. Systems on the Operational Security Table must be included on your agency FISMA system inventory and should be easily referenced in the inventory (i.e., should use the same name or identifier).

All systems supporting and/or part of this investment should be included in the tables below, inclusive of both agency owned systems and contractor systems. For IT investments under development, security and privacy planning must proceed in parallel with the development of the system/s to ensure IT security and privacy requirements and costs are identified and incorporated into the overall lifecycle of the system/s.

Please respond to the questions below and verify the system owner took the following actions:

1. Have the IT security costs for the system(s) been identified and integrated into the overall costs of the investment:

Yes

2. Is identifying and assessing security and privacy risks a part of the overall risk management effort for each system supporting or part of this investment.

Yes

**3. Systems in Planning - Security Table:**

Name of System	Agency/ or Contractor Operated System?	Planned Operational Date	Planned or Actual C&A Completion Date
Title II System	Government Only	11/30/2006	11/18/2005

**4. Operational Systems - Security Table:**

Name of System	Agency/ or Contractor Operated System?	NIST FIPS 199 Risk Impact level	Has C&A been Completed, using NIST 800-37?	Date C&A Complete	What standards were used for the Security Controls tests?	Date Complete(d): Security Control Testing	Date the contingency plan tested
Title II System	Government Only	Moderate	Yes	11/18/2005	FIPS 200 / NIST 800-53	11/10/2005	1/13/2006

5. Have any weaknesses related to any of the systems part of or supporting this investment been identified by the agency or IG?

No

a. If "yes," have those weaknesses been incorporated agency's plan of action and milestone process?

6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses?

No

a. If "yes," specify the amount, provide a general description of the weakness, and explain how the funding request will remediate the weakness.

**7. How are contractor security procedures monitored, verified, validated by the agency for the contractor systems above?**

This is not a contractor system.

**8. Planning & Operational Systems - Privacy Table:**

Name of System	Is this a new system?	Is there a Privacy Impact Assessment (PIA) that covers this system?	Is the PIA available to the public?	Is a System of Records Notice (SORN) required for this system?	Was a new or amended SORN published in FY 06?
Title II System	No	Yes.	Yes.	Yes	Yes, because the existing Privacy Act system of records was substantially revised in FY 06.

**I.F. Enterprise Architecture (EA)**

In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You must also ensure the business case demonstrates the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

**1. Is this investment included in your agency's target enterprise architecture?**

Yes

a. If "no," please explain why?

**2. Is this investment included in the agency's EA Transition Strategy?**

Yes

a. If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment.

Title II Redesign

b. If "no," please explain why?

**3. Service Reference Model (SRM) Table:**

Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to <http://www.whitehouse.gov/omb/egov/>.

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
Connect: Direct	Connect: Direct automates the secure movement of large volumes of data between distributed applications within and between enterprises.	Back Office Services	Data Management	Data Exchange	Data Exchange	016-00-01-04-02-2132-00	Internal	0
MADAM, RAID	The Master File	Back Office	Data	Data	Data	016-00-01-	Internal	0

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
	Data Access Method (MADAM) is an in-house access method designed to access SSA's major master records. Redundant Array of Independent Disks (RAID) is a disk subsystem architecture that uses multiple hard drives to write data to achieving redundancy and enhancing fault resilience.	Services	Management	Recovery	Recovery	04-02-2132-00		
MADAM	The Master File Data Access Method (MADAM) is an in-house access method designed to access SSA's major master records.	Back Office Services	Data Management	Loading and Archiving	Loading and Archiving	016-00-01-04-02-2132-00	Internal	0
DRMS	Data Resource Management System - It is a tool for designers, analysts, and programmers to use during the various phases of the Software Life Cycle. The DRMS is used to maintain data integrity. It supports programmers working with both CICS and Data Base Architecture applications.	Back Office Services	Data Management	Meta Data Management	Meta Data Management	016-00-01-04-02-2132-00	Internal	0
AIF, ICDB	The AIF (Application Interface Facility) is a common interface between SSA's application programs and	Back Office Services	Development and Integration	Data Integration	Data Integration	016-00-01-04-02-2132-00	Internal	0

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
	various Database Management Systems such as IDMS and MADAM. Integrated Client Database (ICDB) is a data access utility containing common data elements from participating systems.							
AIF, JWICS	The AIF (Application Interface Facility) is a common interface between SSA's application programs and various Database Management Systems such as IDMS and MADAM. Java Websphere Initiated CICS Servers (JWICS) is a set of Java Classes and resources files which allow remote procedure call communication between a Java Websphere Application Server Client and a CICS Cobol Server program.	Back Office Services	Development and Integration	Legacy Integration	Legacy Integration	016-00-01-04-02-2132-00	Internal	0
PolicyNet	PolicyNet is an Intranet application that provides collaborative authoring of policy, creation and maintenance of a Policy Repository, posting of questions and answers, improved policy	Business Management Services	Management of Processes	Business Rule Management	Business Rule Management	016-00-01-02-02-2130-00	Internal	0

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
	dissemination, identification of "hotspots" or the need for policy clarification, and a single, improved, natural language search engine.							
PolicyNet	PolicyNet is an Intranet application that provides collaborative authoring of policy, creation and maintenance of a Policy Repository, posting of questions and answers, improved policy dissemination, identification of "hotspots" or the need for policy clarification, and a single, improved, natural language search engine.	Business Management Services	Management of Processes	Change Management	Change Management	016-00-01-02-02-2130-00	Internal	0
Endevor	Endevor is an integrated set of management tools that is used to control and monitor application development and production implementation processes.	Business Management Services	Management of Processes	Change Management	Change Management	016-00-01-04-02-2132-00	Internal	0
QA2	QA2 enforces the completion of an System Release Certification through its interface with the online and batch release processes.	Business Management Services	Management of Processes	Configuration Management	Configuration Management	016-00-01-04-02-2132-00	Internal	0
PolicyNet	PolicyNet is an Intranet application that provides collaborative authoring of policy, creation	Business Management Services	Management of Processes	Governance / Policy Management	Governance / Policy Management	016-00-01-02-02-2130-00	Internal	0

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
	and maintenance of a Policy Repository, posting of questions and answers, improved policy dissemination, identification of "hotspots" or the need for policy clarification, and a single, improved, natural language search engine.							
Aurora	AURORA provides the Program Service Centers (PSCs) and Teleservice Centers (TSCs) with an accurate, responsive and flexible notice preparation system that utilizes batch processing to provide central print and mail functionality.	Digital Asset Services	Document Management	Document Review and Approval	Document Review and Approval	016-00-01-04-02-2132-00	Internal	0
ORS	The Online Retrieval System (ORS) provides the ability to view any notice that has been sent to a customer. ORS also stores the notices in an exact image of the original, thus allowing SSA to adhere to Federal regulations on retention of documents, and move closer to an efficient, paperless environment.	Digital Asset Services	Document Management	Library / Storage	Library / Storage	016-00-01-04-02-2132-00	Internal	0
DRMS	Data Resource Management System - It is a tool for designers,	Digital Asset Services	Knowledge Management	Categorization	Categorization	016-00-01-04-02-2132-00	Internal	0

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
	analysts, and programmers to use during the various phases of the Software Life Cycle. The DRMS is used to maintain data integrity. It supports programmers working with both CICS and Data Base Architecture applications.							
MADAM	The Master File Data Access Method (MADAM) is an in-house access method designed to access SSA's major master records.	Digital Asset Services	Knowledge Management	Information Retrieval	Information Retrieval	016-00-01-04-02-2132-00	Internal	0
CFRMS	The Claim File Records Management System (CFRMS) provides a consolidated view of the electronic claims file for the purpose of records and content management.	Digital Asset Services	Records Management	Document Retirement	Document Retirement	016-00-01-02-02-2130-00	Internal	0
CFRMS	The Claim File Records Management System (CFRMS) provides a consolidated view of the electronic claims file for the purpose of records and content management.	Process Automation Services	Tracking and Workflow	Case Management	Case Management	016-00-01-02-02-2130-00	Internal	0
eTrust, iESI	eTrust SSO provides internal SSA end users a login option (leveraging Microsoft Active Directory login) that allows them to more	Support Services	Security Management	Access Control	Access Control	016-00-02-00-01-2210-00	Internal	0

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
	effectively manage UserIDs and passwords for multiple applications (Internet, Intranet and/or CISC) â€” each one with unique sign-on requirements. iESI is Internet/Intranet Enterprise Security Interface.							
ATS	The purpose of the Audit Trail System (ATS) is to provide an effective tool to deter, detect, investigate and prosecute instances of fraud and abuse.	Support Services	Security Management	Audit Trail Capture and Analysis	Audit Trail Capture and Analysis	016-00-01-02-02-2130-00	Internal	0
Top Secret	TOP SECRET is the security software running on all of SSA's mainframe systems.	Support Services	Security Management	Identification and Authentication	Identification and Authentication	016-00-02-00-01-2210-00	Internal	0
CDW	The Consolidated Development Worksheet (CDW) allows users to view the issues, remarks and reports of contact from active Modernized Claim System, Modernized Supplemental Security Income Claim Systems and Representative Payee System records.	Support Services	Systems Management	Issue Tracking	Issue Tracking	016-00-01-02-02-2130-00	Internal	0

**Use existing SRM Components or identify as "NEW". A "NEW" component is one not already identified as a service component in the FEA SRM.**

**A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.**

'Internal' reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. 'External' reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.

Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the funding level transferred to another agency to pay for the service.

#### 4. Technical Reference Model (TRM) Table:

To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
Data Integration	Component Framework	Business Logic	Platform Dependent	ALC
Legacy Integration	Component Framework	Business Logic	Platform Dependent	ALC
Data Integration	Component Framework	Business Logic	Platform Dependent	COBOL 3
Legacy Integration	Component Framework	Business Logic	Platform Dependent	COBOL 3
Audit Trail Capture and Analysis	Component Framework	Business Logic	Platform Dependent	COBOL 3
Issue Tracking	Component Framework	Business Logic	Platform Dependent	COBOL 3
Configuration Management	Component Framework	Business Logic	Platform Dependent	Visual Basic .Net (VB.Net)
Legacy Integration	Component Framework	Business Logic	Platform Independent	Java Servlet (JSR 53)
Access Control	Component Framework	Business Logic	Platform Independent	Java Servlet (JSR)
Data Exchange	Component Framework	Data Interchange	Data Exchange	Resource Description Framework (RDF)
Document Retirement	Component Framework	Data Interchange	Data Exchange	Simple Object Access Protocol (SOAP)
Configuration Management	Component Framework	Data Management	Database Connectivity	Active Data Objects .Net (ADO.Net)
Loading and Archiving	Component Framework	Data Management	Database Connectivity	BDAM
Information Retrieval	Component Framework	Data Management	Database Connectivity	BDAM
Data Recovery	Component Framework	Data Management	Database Connectivity	BDAM
Document Retirement	Component Framework	Data Management	Database Connectivity	DB2 Connector
Meta Data Management	Component Framework	Data Management	Database Connectivity	DB2 Connector
Categorization	Component Framework	Data Management	Database Connectivity	DB2 Connector
Library / Storage	Component Framework	Data Management	Database Connectivity	DB2 Connector
Configuration Management	Component Framework	Data Management	Database Connectivity	Open Database Connectivity (ODBC)
Case Management	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Active Server Pages .Net (ASP.Net)
Configuration	Component	Presentation /	Dynamic Server-	Active Server Pages .Net

<b>FEA SRM Component</b>	<b>FEA TRM Service Area</b>	<b>FEA TRM Service Category</b>	<b>FEA TRM Service Standard</b>	<b>Service Specification (i.e. vendor or product name)</b>
Management	Framework	Interface	Side Display	(ASP.Net)
Information Retrieval	Component Framework	Security	Supporting Security Services	TopSecret
Meta Data Management	Component Framework	Security	Supporting Security Services	TopSecret
Categorization	Component Framework	Security	Supporting Security Services	TopSecret
Identification and Authentication	Component Framework	Security	Supporting Security Services	TopSecret
Access Control	Component Framework	Security	Supporting Security Services	TopSecret
Case Management	Service Access and Delivery	Access Channels	Other Electronic Channels	System to System
Information Retrieval	Service Access and Delivery	Access Channels	Other Electronic Channels	System to System
Data Integration	Service Access and Delivery	Access Channels	Other Electronic Channels	System to System
Legacy Integration	Service Access and Delivery	Access Channels	Other Electronic Channels	System to System
Access Control	Service Access and Delivery	Access Channels	Other Electronic Channels	System to System
Case Management	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer
Governance / Policy Management	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer
Business Rule Management	Service Access and Delivery	Delivery Channels	Intranet	
Governance / Policy Management	Service Access and Delivery	Delivery Channels	Intranet	
Business Rule Management	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	
Change Management	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	
Governance / Policy Management	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	
Access Control	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	
Document Retirement	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Loading and Archiving	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Information Retrieval	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Data Recovery	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Access Control	Service Access and Delivery	Service Requirements	Legislative / Compliance	Security
Identification and Authentication	Service Access and Delivery	Service Requirements	Legislative / Compliance	Security
Legacy Integration	Service Access and Delivery	Service Transport	Service Transport	Internet Protocol (IP)
Legacy Integration	Service Access and Delivery	Service Transport	Service Transport	Transport Control Protocol (TCP)
Legacy Integration	Service Access and Delivery	Service Transport	Supporting Network Services	Transport Layer Security (TLS)
Audit Trail Capture and Analysis	Service Interface and Integration	Integration	Middleware	CICS
Document Review and Approval	Service Interface and Integration	Integration	Middleware	CICS
Issue Tracking	Service Interface and Integration	Integration	Middleware	CICS

<b>FEA SRM Component</b>	<b>FEA TRM Service Area</b>	<b>FEA TRM Service Category</b>	<b>FEA TRM Service Standard</b>	<b>Service Specification (i.e. vendor or product name)</b>
Data Integration	Service Interface and Integration	Integration	Middleware	CICS
Identification and Authentication	Service Interface and Integration	Integration	Middleware	CICS
Business Rule Management	Service Interface and Integration	Integration	Middleware	Database Access: NET8
Change Management	Service Interface and Integration	Integration	Middleware	Database Access: NET8
Governance / Policy Management	Service Interface and Integration	Integration	Middleware	Database Access: NET8
Change Management	Service Interface and Integration	Integration	Middleware	Transaction Processing Monitor
Data Integration	Service Interface and Integration	Integration	Middleware	Transaction Processing Monitor
Data Exchange	Service Interface and Integration	Interface	Service Description / Interface	Application Program Interface (API) / Protocol
Loading and Archiving	Service Platform and Infrastructure	Database / Storage	Database	BDAM
Information Retrieval	Service Platform and Infrastructure	Database / Storage	Database	BDAM
Data Recovery	Service Platform and Infrastructure	Database / Storage	Database	BDAM
Document Retirement	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Meta Data Management	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Categorization	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Data Integration	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Library / Storage	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Issue Tracking	Service Platform and Infrastructure	Database / Storage	Database	IDMS
NEW	Service Platform and Infrastructure	Database / Storage	Database	IDMS
Business Rule Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle
Change Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle
Governance / Policy Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle
Data Integration	Service Platform and Infrastructure	Database / Storage	Database	VSAM
Data Exchange	Service Platform and Infrastructure	Delivery Servers	Application Servers	
Case Management	Service Platform and Infrastructure	Delivery Servers	Web Servers	Internet Information Server (IIS)
Business Rule Management	Service Platform and Infrastructure	Delivery Servers	Web Servers	Internet Information Server (IIS)
Data Recovery	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Redundant Array of Independent Disks (RAID)
Document Retirement	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Loading and Archiving	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Data Recovery	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
Business Rule Management	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Governance / Policy Management	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Audit Trail Capture and Analysis	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Document Review and Approval	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Issue Tracking	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Meta Data Management	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Categorization	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Change Management	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Library / Storage	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Identification and Authentication	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Identification and Authentication	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Mainframe
Access Control	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Enterprise Server
Document Retirement	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Loading and Archiving	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Data Integration	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Legacy Integration	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Audit Trail Capture and Analysis	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Document Review and Approval	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Issue Tracking	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Change Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Audit Trail Capture and Analysis	Service Platform and Infrastructure	Support Platforms	Platform Dependent	COBOL 3
Case Management	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Windows .Net
Business Rule Management	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Windows .Net
Data Integration	Service Platform and Infrastructure	Support Platforms	Platform Dependent	z/OS
Legacy Integration	Service Platform and Infrastructure	Support Platforms	Platform Independent	Java 2 Platform Enterprise Edition (J2EE)
Access Control	Service Platform and Infrastructure	Support Platforms	Platform Independent	Java 2 Platform Enterprise Edition (J2EE)

**Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications**

**In the Service Specification field, Agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.**

**5. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)?**

No

a. If "yes," please describe.

**6. Does this investment provide the public with access to a government automated information system?**

Yes

a. If "yes," does customer access require specific software (e.g., a specific web browser version)?

No

1. If "yes," provide the specific product name(s) and version number(s) of the required software and the date when the public will be able to access this investment by any software (i.e. to ensure equitable and timely access of government information and services).

## **Exhibit 300: Part II: Planning, Acquisition and Performance Information**

### **II.A. Alternatives Analysis**

Part II should be completed only for investments identified as "Planning" or "Full Acquisition," or "Mixed Life-Cycle" investments in response to Question 6 in Part I, Section A above.

In selecting the best capital asset, you should identify and consider at least three viable alternatives, in addition to the current baseline, i.e., the status quo. Use OMB Circular A- 94 for all investments, and the Clinger Cohen Act of 1996 for IT investments, to determine the criteria you should use in your Benefit/Cost Analysis.

**1. Did you conduct an alternatives analysis for this project?**

Yes

a. If "yes," provide the date the analysis was completed?

7/25/2006

b. If "no," what is the anticipated date this analysis will be completed?

c. If no analysis is planned, please briefly explain why:

2. Removed

**3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen?**

The alternative that was chosen allowed the agency to continue to maintain the existing system so this added time allowed us and the field offices time to make the changes accurately.

**4. What specific qualitative benefits will be realized?**

The field offices will have the benefit of processing initial claims and post entitlement actions in an online interactive mode. Most data that they need to initiate a claim will be available to them in a real time environment. This will greatly reduce the number of alerts they receive from the system.

### **II.B. Risk Management**

**You should have performed a risk assessment during the early planning and initial concept phase of this investment's life-cycle, developed a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.**

**1. Does the investment have a Risk Management Plan?**

Yes

a. If "yes," what is the date of the plan?

6/1/2006

b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?

No

c. If "yes," describe any significant changes:

**2. If there currently is no plan, will a plan be developed?**

a. If "yes," what is the planned completion date?

**b. If "no," what is the strategy for managing the risks?**

**3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule:**

SSA's baselines are risk adjusted in terms of both life cycle schedule and resource estimates. Factors considered in determining baseline risk adjustments include: identification of known and types of unknown program and technology risks, the likelihood of occurrence, the impact in the event the risk occurs, and the migration strategy adopted to manage each risk. The intent of adopting this strategy is the program to be able to absorb inevitable risk occurrences and still achieve end cost and schedule objectives. This practice (along with our risk management policies and procedures) has to date been a successful one at SSA. Small management reserves are held at the Deputy Commissioner level in the event required.

**II.C. Cost and Schedule Performance**

**1. Does the earned value management system meet the criteria in ANSI/EIA Standard-748?**

Yes

**2. Answer the following questions about current cumulative cost and schedule performance. The numbers reported below should reflect current actual information. (Per OMB requirements Cost/Schedule Performance information should include both Government and Contractor Costs):**

**a. What is the Planned Value (PV)?**

2.994000

**b. What is the Earned Value (EV)?**

2.994000

**c. What is the actual cost of work performed (AC)?**

5.439000

**d. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)?**

Contractor and Government

**e. "As of" date:**

9/30/2006

**3. What is the calculated Schedule Performance Index (SPI = EV/PV)?**

1.000000

**4. What is the schedule variance (SV = EV-PV)?**

0

**5. What is the calculated Cost Performance Index (CPI = EV/AC)?**

0.550000

**6. What is the cost variance (CV=EV-AC)?**

-2.445000

**7. Is the CV% or SV% greater than +/- 10%? (CV% = CV/EV x 100; SV% = SV/PV x 100)**

Yes

**a. If "yes," was it the?**

CV

**b. If "yes," explain the variance:**

Negative CV due to critical corrections needed to the T2R software continue to be identified by the users which require corrections be made to avoid payment problems (over or under payments).

**c. If "yes," what corrective actions are being taken?**

Subject matter expert resources have been assigned - the task is on schedule.

**8. Have any significant changes been made to the baseline during the past fiscal year?**

Yes

**8. If "yes," when was it approved by OMB?**

09/2006